

Pollution Prevention Grants (PPG)
2004 Requests for Proposals
Published April 27, 2004

Overview

The EPA Region 9 Pollution Prevention Program is soliciting proposals for the Pollution Prevention Grant program. These grants support State, Tribal, Territory and regional programs that address the reduction or elimination of pollution across all environmental media: air, land and water. This solicitation contains all the information that an applicant needs to prepare a PPG proposal for fiscal year (FY) 2004. This assistance will be awarded through the Pollution Prevention Act of 1990.

Catalog of Federal Domestic Assistance Number: 66.708.

Important Dates:

May 26, 2004-- Proposals must be received by EPA.

June 25, 2004 – Applicants given notice of initial approvals and denials. Applicants selected for funding may be requested to submit a revised application (e.g. if funding awarded is less than originally requested, or workplans need revision/greater specificity).

July 16, 2004 -- Final, revised grant application and workplan must be submitted to EPA.

October 1, 2004 -- Awards made

Contents of Full Text Announcement:

- I. Funding opportunity description
- II. Award information
- III. Eligibility information
- IV. Initial proposal submission information
- V. Initial Proposal Review Information
- VI. Award administration
- VII. Agency contacts
- VIII. Other information

Pollution Prevention Grants (PPG) 2004 Requests for Proposals

Full Text Announcement

I. Funding Opportunity Description

On April 9, 2004 the Environmental Protection Agency (EPA) announced in the Federal Register the availability of funds through the Pollution Prevention Grants (PPG) program. PPG supports State, Tribal, Territory and regional programs that address the reduction or elimination of pollution across all environmental media: air, land and water. This regional guidance incorporates all the information that an applicant needs to prepare a PPG proposal for fiscal year (FY) 2004.

In this regional guidance, we:

- review what organizations are eligible for funding.
- discuss the purpose of the grant program.
- outline regional evaluation criteria, and
- specify the procedures for application and award of FY2004 multi-media pollution prevention grants and cooperative agreements through the PPG program in EPA Region 9.

II Award Information

In 2004, EPA Region 9 anticipates that it will award approximately \$470,000 in grants. Individual awards may be for any amount up to \$200,000. Organizations receiving PPG funds are required to match Federal funds equally, at a minimum, so that Federal funding for the project does not exceed half of the allowable project cost. For example, a grant request for \$100,000 must be matched by a State contribution of no less than \$100,000. State matching contributions may be through dollars and/or in-kind goods and services. Grant funds may be expended for up to three years.

If a Tribe or Intertribal Consortium is selected for award of a P2 grant and the Tribe includes the funds in a Performance Partnership Grant awarded under 40 CFR part 35, subpart B, the required Tribal match for the pollution prevention portion of the P2 grant will be reduced to 5% of the allowable pollution prevention project cost for the first 2 years of the P2 grant.

Please ensure that the signer of your proposal is authorized to assure the availability of state funds. If funds will be provided by another partner in the project, a written assurance of financial participation must be obtained by the state agency putting forward the proposal. This assurance should be submitted with the proposal.

III. Eligibility Information

By statute, eligibility for the PPG grant program is limited to the States (including agencies,

instrumentalities and State universities), territories, possessions, and federally recognized Indian Tribes. Other organizations are encouraged to form partnerships with eligible grant recipients in order to submit proposals.

Purpose and Eligible Activities

The PPG grant program supports the establishment and expansion of State-based and Tribal-based pollution prevention programs which promote the use of source reduction techniques by businesses, and the evaluation of new, innovative pollution prevention approaches and methodologies. Proposals accepted for review under this program must qualify as pollution prevention, which the Pollution Prevention Act of 1990 defines as any practice which:

- Reduces the amount of any hazardous substance, pollutant, or contaminant entering any waste stream or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment or disposal; and
- Reduces the hazards to public health and the environment associated with the release of such substances, pollutants, or contaminants.

Funds awarded must be used for programs that address the transfer of pollutants across all environmental media: air, water, and land.

Funds may be expended for providing direct technical assistance; conducting outreach; developing measures to determine progress in pollution prevention; and implementing voluntary and incentive-based programs to encourage pollution prevention.

IV. Application Submission Information

Proposals must include the following information:

National Requirements

General: This year, in order to achieve regional and preferably, national impact, the regions are encouraging grant applicants to replicate prior P2 grant projects which have demonstrated a measurable environmental impact. Since this grant programs' inception, many valuable pollution prevention methods, tools and program approaches have been developed. Many of these are ready for prime time: EPA would like to encourage P2 service providers in each region to become aware of what others have developed across the country and adapt the successful elements into their own programs. Elements can come from past EPA P2 grant funded-projects, or other sources. This is not a requirement, but is highly encouraged. Please briefly explain which program elements you are replicating, and from which other programs. Each region will have the flexibility of selecting at least one project which demonstrates a measurable impact. To find examples of P2 grant projects which could be replicated please visit:
<http://www.epa.gov/p2/grants/ppis/ppis.htm#summaries>.

Specific: Each applicant for FY 2004 funding must address *all four* of the following national criteria in their proposal. As well as ensuring that the proposed activities meet EPA's definition of pollution prevention, the applicant's proposal must include how they plan to address the following four criteria:

1. Promote multimedia pollution prevention. Applicants should identify how projects will encourage source reduction to actively prevent pollution across environmental media (air, land, and water). Programs should reflect comprehensive and coordinated pollution prevention planning and implementation efforts. Pollution prevention programs can develop multimedia pollution prevention activities which provide technical assistance to businesses, institutionalize multimedia pollution prevention as an environmental management priority, or initiate demonstration projects that provide technical assistance to test and support innovative pollution prevention approaches and methodologies.

2. Advance environmental goals. EPA believes that State and Tribal pollution prevention programs have a unique opportunity to promote pollution prevention, especially through the environmental performance agreements. By developing applications that support stated environmental goals, pollution prevention programs can help ensure that States and Tribes achieve objectives through a cost-effective preventive approach. EPA would like to ensure that pollution prevention is integrated and that the funds provide a service that supports each State's or Tribe's strategic plan. EPA will not fund any projects developed apart from those included in the stated strategic plans.

3. Promote partnerships. For the past 7 years, EPA has required P2 grant applicants to identify major environmental assistance providers in their area and to work with these organizations to educate businesses on pollution prevention. EPA believes that pollution prevention programs that do not develop a strong relationship with other environmental assistance providers will face difficulties accessing State and Federal resources in the future. EPA continues to seek more cooperation among State and Tribal pollution prevention programs and the other environmental and business assistance providers. These can include university-based technical assistance and cooperative extension programs, and other State-based assistance programs. Partnerships are also encouraged with regional and national programs, such as the Pollution Prevention Resource Exchange (P2Rx) Centers, National Institute of Standards and Technology (NIST) Programs, EPA's Office of Enforcement and Compliance Assurance (OECA) Compliance Assistance Centers, EPA's Small Business Assistance Programs (SBAPs), etc.

By developing such partnerships, EPA would like to ensure that pollution prevention programs leverage this outside expertise. This partnership will also reduce the need for other environmental assistance providers to develop their own expertise, which would otherwise result in duplication of effort.

4. Assess program activities and share results. Effective grants management requires an understanding of what is to be accomplished with the funds and timely follow-up to measure and assess the actual results and impacts of the activities. P2 grantees should work with their EPA Regional P2 Coordinator to evaluate and report on progress and accomplishments made under the grant.

Such reporting should include several elements:

a. Grantees should provide data regarding the scope and results of the specific activities conducted pursuant to the work plan commitments to support the wide variety of pollution prevention activities, encompassing such efforts as training, case studies, and P2 assessments, included under the grant.

b. Grantees should attempt where possible to measure and assess the effect activities encompassing training, case studies, and P2 assessments, in terms of changes in knowledge, capabilities, attitudes, and behaviors of the targeted audiences. These changes are important in assessing the effectiveness of the funded activities and in planning future actions.

c. Grantees should attempt where possible to measure and assess the wide-ranging positive environmental and economic impacts. Some of the EPA regional offices have negotiated with their States specific measurement structures which may provide appropriate frameworks for estimating environmental impact. Particularly important are the P2 outcome measures included in EPA's Strategic Plan: Pounds of pollution prevented, amount of energy and water conserved, and dollars saved. Grantees should also look to existing P2 measurement reports and systems, such as those managed by the National Pollution Prevention Roundtable (NPPR), the Northeast Waste Management Officials Association (NEWMOA), and the Pacific Northwest Pollution Prevention Resource Center (PPRC) for examples and to avoid duplicative reporting.

The resulting information should prove invaluable, not only in ensuring proper management of grant funds, but in demonstrating the value of the funded work. In particular, data on “real world” impacts of P2 efforts, especially displayed in such compelling terms as pounds of pollution prevented or dollars saved, can be a powerful indication of the success of a specific grant activity and of the importance of P2 programs generally. Grantees are encouraged to share this information with key stakeholders and audiences, including program sponsors, affected media and regulatory offices, other environmental programs, elected officials, allied organizations, business and civic groups, and the general public. See Section X below for more information on measurement.

Regional Requirements:

1. Application for Federal Assistance (Standard Form 424) and Budget Information (SF 424A). These forms can be found at www.whitehouse.gov/omb/grants/index.html#forms. Click on forms, then click on SF-424 and SF-424A, then download/print them.
2. Identification of the key agency contact, and, if applicable, other involved agencies' contacts. EPA will contact these people if additional information or explanation is required
3. Background. This section should include a statement of the problems or issues that the project will address.
4. Summary of the Proposed Project. This section should include the project strategy, goals and objectives.
5. Project Schedule and Specification of Tasks and Deliverables. This section should summarize the project tasks and deliverables and their projected completion dates and identify specific documents which will be completed and submitted to EPA Region 9. Dissemination of project results to other states should be addressed.
6. Detailed Budget. This section should provide a further break-down and justification of the budget estimates provided on Standard Form 424A. For example, the ‘Personnel’ line item might be justified by 25% of Program Manager salary, or \$15,000, 50% of project specialist @\$25,000, etc.
7. Measurement Methodology. This section should describe the techniques that will be used to measure change in the environment, in pollutant release, or in behavior that are

attributable to the proposed project. Examples of what measurement categories to consider can be found in section VIII below.

8. Statement of Experience/Capability. This section should include resumes or background statements for key project personnel and a description of the project participants' capabilities and experience as it relates to the proposed project. Proposal reviewers will be looking for a clear indication of the participants' ability to accomplish the project's stated objectives.

V. Application Review Information

Proposals must be double-side copied and submitted, in duplicate, to:

Jessica Counts
Pollution Prevention Team (WST-7)
US EPA Region 9
75 Hawthorne Street
San Francisco, California 94105

Project proposals must be postmarked no later than **May 26, 2003**

The EPA Region 9 Pollution Prevention Team, with technical assistance from others in the Regional office, will review the proposals. The proposals will first be screened to ensure that:

1. The proposal is from an eligible grant recipient.
2. The proposal is for pollution prevention activities.
3. The proposal addresses the five mandatory national requirements listed in Section IV, and includes a proposed measurement methodology.

Proposals that do not pass this screening will not be evaluated further.

Remaining proposals will be evaluated by a Regional evaluation panel, based upon the criteria listed below. The projects evaluated highest in the process will be recommended for funding. If necessary, dollar amounts to be awarded will be adjusted to meet funding constraints. Funding decisions will be made by June, 2004 and applicants will be notified. If necessary, applicants may need to revise the application to account for adjustments in funding amounts or workplan activities. A complete, revised application is required by mid-July in order to meet the EPA grants office deadline of July 31st for all grants to be awarded by October 1, 2004.

Evaluation Criteria

EPA Region 9 will use the following evaluation criteria in reviewing the proposals:

1. The application presents a clear description of priority environmental problems or issues which the project will address. Justification is given for why these are state/tribal environmental priorities. **(15 points).**
2. The application specifies realistic goals and objectives that deal with the environmental problems or issues identified in the application **(10 points).**
3. The application includes a well-conceived strategy to achieve those goals and objectives **(15 points).**
4. The project makes effective and judicious use of the requested federal grant funds. Matching funds relate directly to the program and can be clearly accounted for

(15 points).

5. Project participants are well qualified to conduct the proposed project and have a demonstrated record of success in their previous work in pollution prevention and/or related areas. Senior management within the applicant organization and other participating organizations are committed to the project and will monitor project progress **(15 points).**
6. The project contains clear measures of success. Measures of success should be either measures of environmental improvement, or should be directly linked to such measures **(20 points).**
7. The project includes features that are transferable to other areas and describes how products/approaches will be shared with other states/P2 providers. It also describes how project success will be shared with other departments internally **(10 points).**

VI. Award Administration

A. Award Notices

Following final selections, all applicants will be notified regarding their application's status.

1. EPA anticipates notification to successful applicant(s) will be made via telephone, electronic or postal mail by end of June, 2004. This notification, which advises that the applicant's proposal has been selected and is being recommended for award, is not an authorization to begin performance. The award notice signed by the EPA grants officer is the authorizing document and will be provided through postal mail. At a minimum, this process can take up to 90 days from the date of selection.
2. EPA anticipates notification to unsuccessful applicant(s) will be made via electronic or postal mail by end of June, 2004. In either event, the notification will be sent to the original signer of the application.

Applicants that are selected for continuance in the process will be sent an application kit for funding. These recipients will be invited to submit a detailed workplan and the completed application for funding. Receipt of an application kit is not a guarantee of funding. Deadlines must be met and the work plan must be approved by the EPA Project Officer for funding to occur.

B. Administrative and National Policy Requirements

1. A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at:
http://www.epa.gov/ogd/AppKit/applicable_epa_regulations_and_description.htm.
2. Executive Order 12372, Intergovernmental Review of Federal Programs may be applicable to awards, resulting from this announcement. Applicants selected for funding may be required to provide a copy of their proposal to their State Point of Contact (SPOC) for review, pursuant to Executive Order 12372, Intergovernmental Review of Federal Programs. This review is not required with the Initial Proposal and not all states require such a review.
3. All applicants are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for a Federal grant or cooperative agreement. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com>.

C. Reporting Requirement

Semi-annual reports and a detailed final report will be required. The semi-annual report should include: a summary of the project status and results, reductions achieved if applicable, cost analysis, problems, successes, and lessons learned. The schedule for submission of semi-annual reports will be established, by EPA, after award. For 2004 awarded PPG grants, EPA is evaluating using a web-based reporting system for its P2 grants.

VII. Agency Contact

If you need clarification on any of this guidance, contact Leif Magnuson at (415) 972-3286 or via email at magnuson.leif@epa.gov, or Jessica Counts at (415) 972-3288 or via email at counts.jessica@epa.gov.

VIII. Other Information

Applicants should clearly mark information in their proposal which they consider confidential. EPA will make final confidentiality decisions in accordance with Agency regulations at 40 CFR Part 2, Subpart B.

EPA reserves the right to reject all proposals or applications and make no award as a result of this announcement. The EPA Grant Award Officer is the only official that can bind the Agency to the expenditure of funds for selected projects resulting from this announcement. Formal disputes challenging the Agency award decision, will be resolved using the Dispute Procedures at 40 CFR 30.63 and 40 CFR 31.70.

Measuring and Reporting for EPA Region IX 2004 PPG Grantees

Congress is asking EPA and other federal departments and agencies under the Government Performance and Results Act (GPRA) to provide more detailed information on environmental results attributable to EPA programs and grants. Below are lists of measurement indices to consider. Please review each index to see whether it applies to your project. The more impacts you can report, the better.

Activities are what you did:

- Number of fact sheets/videos/manuals/guides/documents distributed and to whom
- Number and locations of workshops held and number of persons attending
- Number of phone calls tendered
- Number and locations of on-site visits conducted
- Number and locations of meetings/charettes/press events held
- Number and names of associations or groups trained or serving as project partners

Outcomes are what changed as a result of your Activities, such as:

- Customer satisfaction/awareness (e.g. testimonials, survey data, etc.)
- Changes in Customer behavior (e.g. number of best practices adopted)
- Reduction in waste generator status (e.g. LQG to SQG to CESQG)
- Improved regulatory compliance

Impacts are the environmental and human health improvements made as a result of your activities:

- Amount of X chemical product no longer purchased or used

Amount of water conserved
Amount of energy conserved
Amount of X solid waste reduced (no longer generated)
Amount of X hazardous waste reduced
Amount of X air emission reduced
Amount of X wastewater reduced
Amount of X contaminant in solid waste, hazardous waste, air emission or wastewater reduced
Amount of human health exposure reduced
Amount of toxicity reduction
Amount of land preserved

Please specify whether the results data are totals or normalized, and what parameter you used to normalize the data (per dollar sales, per product made, per amp hour, etc.)

Please specify whether your data are empirical (based on measured results) or based on estimates. If based on estimates, please describe the methodology you used to arrive at those estimates.

